

Please type a plus sign (+) inside this box



PTO/SB/05 (08-00)

Approved for use through 10/31/2002 OMB 0651-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

1986-002-00

First Named Inventor

Errol O. KENDALL

Title

SYSTEM FOR APPRAISING A FINANCIAL  
PRODUCT

Express Mail Label No.

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- 1.
- ☒
- Fee Transmittal Form (e.g., PTO/SB/17)
- 
- (Submit an original, and a duplicate for fee processing)

- 2.
- ☒
- Applicant claims small entity status
- 
- See 37 CFR 1.27

- 3.
- ☒
- Specification [Total Pages
- 31**
- ]

(preferred arrangement set forth below)

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the invention
- Brief Summary of the invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

- 4.
- ☒
- Drawing(s) (35 U.S.C. 113) [Total Sheets
- 6**
- ]

5. Oath or Declaration [Total Pages
- 1**
- ]

- a.
- ☒
- Newly executed (original or copy)

- b.
- ☐
- Copy from a prior application (37 CFR 1.63(d))
- 
- (for continuation/division with Box 17 completed)

- i.
- ☐
- DELETION OF INVENTOR(S)**
- 
- Signed statement attached deleting
- 
- inventor(s) named in the prior application,
- 
- see 37 CFR 1.63(d)(2) and 1.33(b).

- 6.
- ☐
- Application Data Sheet See 37 CFR 1.76

- 7.
- ☐
- CD-ROM or CD-R in duplicate, large table or
- 
- Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission
- 
- (if applicable, all necessary)

- a.
- ☐
- Computer Readable Form (CRF)

- b. Specification Sequence Listing on:

- i.
- ☐
- CD-ROM or CD-R (2 copies); or ii.
- ☐
- paper

- c.
- ☐
- Statements verifying identity of above copies

**ACCOMPANYING APPLICATIONS PARTS**

- 9.
- ☒
- Assignment Papers (cover sheet & document(s))

- 10.
- ☐
- 37 CFR 3.73(b) Statement
- ☐
- Power of
- 
- (when there is an assignee) Attorney

- 11.
- ☐
- English Translation Document (if applicable)

- 12.
- ☐
- Information Disclosure
- ☐
- Copies of IDS
- 
- Statement (IDS)/PTO-1449 Citations

- 13.
- ☐
- Preliminary Amendment

- 14.
- ☒
- Return Receipt Postcard (MPEP 503)
- 
- (Should be specifically itemized)

- 15.
- ☐
- Certified Copy of Priority Document(s)
- 
- (if foreign priority is claimed)

- 16.
- ☐
- Other

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_

Group / Art Unit: \_\_\_\_\_

**For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.****18. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Labelor ☒ Correspondence address below

Name	LONG ALDRIDGE & NORMAN LLP Song K. Jung				
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Name (Print/Type)	Song K. Jung	Registration No. (Attorney/Agent)	35,210
Signature		Date	January 10, 2001

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2001


Patent fees are subject to annual revision.

## Complete if Known

Application Number		Not Yet Assigned	
Filing Date		January 10, 2001	
First Named Inventor		Errol O. KENDALL	
Examiner Name		Not Yet Assigned	
Group Art Unit		N/A	
Attorney Docket No.		1986-002-00	

TOTAL AMOUNT OF PAYMENT	(\$)	790.00
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METHOD OF PAYMENT		FEE CALCULATION (continued)																																																																																																																																																																															
<p>1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to.</p> <p>Deposit Account Number: 50-0911</p> <p>Deposit Account Name:</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p>		<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Large Entity Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee Code</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for <i>ex parte</i> reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>390</td><td>216</td><td>195</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>890</td><td>217</td><td>445</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,390</td><td>218</td><td>695</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,890</td><td>228</td><td>945</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - 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SUBMITTED BY		Complete (if applicable)	
Name (print/type)	Song K. Jung	Registration No. (Attorney/Agent)	35,210
Signature		Telephone	(202) 624-1200
		Date	January 10, 2001